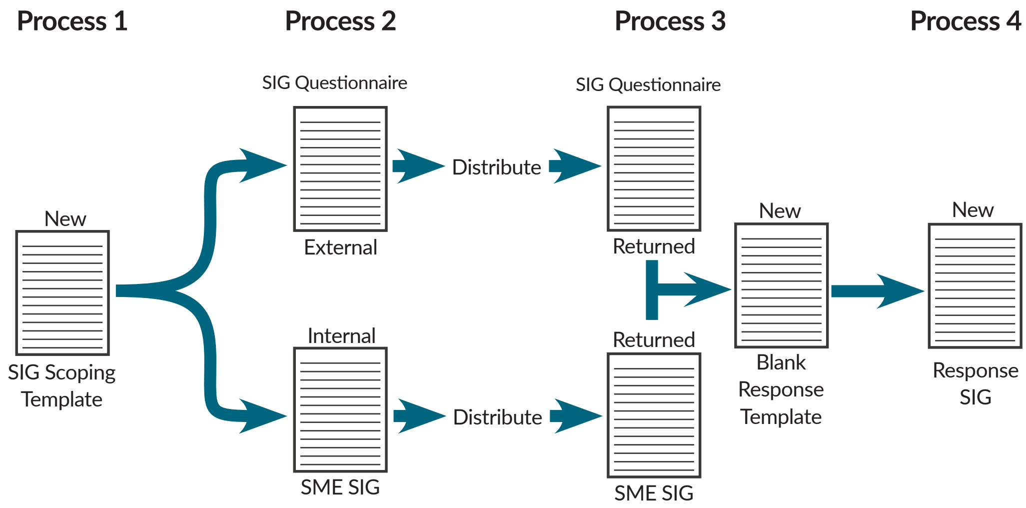
SHARED ASSESSMENTS

HOW TO

Move Data to and from SIG Questionnaires and SME SIGs; Use that Data to Make Response SIGs

This How-To provides an explanation of how to create a SIG scoping template and use it to create a SIG questionnaire (for external use) or SME SIG (for internal use), which you can then distribute. After the SIGs have been returned, this How-To explains how to consolidate those and any other responses into the Content Library. You can then create a “pro-active” Response SIG that contains appropriate responses for you to send to potential outsourcers.

There are four processes (detailed below). Be sure to read “A Note on Scoping and Appending” on page 6.



SUMMARY

Process 1: Creates a SIG scoping template for the intended recipient(s) of questionnaires, SME SIGs, or response SIGs. The SIG scoping template controls the selection of questions that pertain to specific Domains, Control Families, and Mapping References and the level of detail of those questions. Creating a scoping template is the basis of most activity with the SIG.

Process 2: Uses the SIG scoping template to create either **(a)** a SIG questionnaire for distribution to, and gathering answers from, third parties, or **(b)** a SME SIG for completion by the organization’s internal subject matter experts. SME SIGs — and their information — are always internal to the organization.

Process 3: Once an answered SIG is returned by a potential vendor or other third party, or once a SME SIG has been completed by the organization’s internal subject matter experts (or both, or either), Process 3 uses a blank response template to collect and collate that information. If you add information to the response template from multiple sources (several SIG questionnaires or SME SIGs, for example), the order in which you add that information can make a difference. See “A Note on Scoping and Appending” on page 6.

Note: Process 3 can be used for other purposes even if you do not create a response SIG with Process 4.

Process 4: Creates a pre-populated response SIG that your organization can use to send to potential outsourcers.

DETAILED STEPS

These steps provide explicit directions.

PROCESS 1 — CREATE THE CUSTOM SCOPED TEMPLATE

Step 1. Navigate to the SIG Manager tab and click the radio button for Custom SIG Scoping Template.

9	**Function Selection**
10	**Create Questionnaires and Templates**
11	○ SIG - Create a SIG from a SIG Scoping Template
12	◉ Custom SIG Scoping Template - Select options to create a Custom SIG Scoping Template
13	○ Response Template - From Content Library
14	○ SME SIG - From a SIG Scoping Template
15	○ Response SIG - From SIG Scoping Template and Response Template

Step 2. Click the radio button next to your preferred scoping method and SIG format.

Scoping Method
◉ Domain
○ Mapping References
○ Control Family
SIG Format
◉ Single Worksheet
○ Multi-Worksheet

Step 3. Determine which person, organization, or department this scoping will be for. For example, will you be sending a SIG questionnaire to a third party involved in cybersecurity, or will you be sending a SME SIG internally to your own HR department?

Choose Lite/Core/Detail from the pulldown next to each appropriate option for your intended audience.

Risk Domains	Scope Level
All Domains Selection:	
A. Enterprise Risk Management	
B. Nth Party Management	
C. Information Assurance	
D. Asset and Info Management	
E. Human Resources Security	Core
F. Phys and Env Security	
G. IT Operations Management	

You can have up to four (4) Mapping References. Two are selected by default (but you can change them).

Mapping References for Scoping	Scope Level	
All Reference Documents Selection:		Include
Technology Standards & Frameworks		
Shared Assessments SCA 2024		☑
ISO 27001:2022		☑
ISO 27002:2022		☐

Step 4. Once you have selected by Domain, Mapping Reference, or Control Family, options appear where you can enter a name for your scoping template. Shared Assessments recommends a name that relates to the department or organization receiving the questionnaire. Selection Status tells you how many questions are included in your scoping template.

Save

Template Name
Domain Mixed Single7

Selection Status
16 - Questions in Selection

Step 5. Click the gray Save button. This saves your named scoping template as part of the SIG Manager. You should save the SIG Manager (by choosing Save from Excel's File menu) every time you make a major change such as creating a scoping template.

Step 6. Repeat Step 1 through Step 5 for each type of recipient, department, or subject-matter topic you need to assign.

For example, you may be planning to send a questionnaire to an organization specializing in physical and environmental security. Or, you may be planning to send questions internally to a subject matter expert on asset management.

A single recipient may be assigned more than one topic (especially for SIG questionnaires intended for vendors). However, if you are planning to consolidate answers (shown in Process 3), it is important to create scoping templates that do not have question overlap. If two different subject matter experts, for example, answer the same question, it can cause problems later on when combining their answers into the Content Library. See "A Note on Scoping and Appending" on page 6

PROCESS 2 — CREATE BLANK QUESTIONNAIRES OR SME SIGS FROM THE SCOPING TEMPLATE

2A: Create Regular SIG Questionnaire

Step 1. Click the radio button **SIG—Create a SIG from a SIG Scoping Template**.

9	Function Selection
10	Create Questionnaires and Templates
11	◉ SIG - Create a SIG from a SIG Scoping Template
12	○ Custom SIG Scoping Template - Select options to create a Custom SIG Scoping Template
13	○ Response Template - From Content Library
14	○ SME SIG - From a SIG Scoping Template
15	○ Response SIG - From SIG Scoping Template and Response Template
16	Compare SIG Data
17	○ Compare - Compare a received SIG to a Response SIG or stored Response Template
18	

Step 2. Click the radio button next to the scoping template you plan to use.

	SIG Scoping Template	Modified
○	Standard SIG 2024 Core	11/17/2023
○	Standard SIG 2024 Lite	11/17/2023
○	test-HR-IT-core	5/11/2024
○	test-HR-only	5/11/2024
◉	HR-template	5/21/2024

Step 3. Click Create SIG. SIG creates a questionnaire based on your scoping template.

Tip: Save the SIG questionnaire when prompted. The SIG questionnaire uses macros (programming statements). (Mac Users) Be sure to save the questionnaire file with its **.xlsm** filename extension.

After creating the SIG questionnaire, you can send it to your intended recipient — a third party, a vendor, or anyone else whom you want to answer the questionnaire's set of questions.

2B: Create SME SIG

Step 1. Click the radio button **SME SIG—From a SIG Scoping Template.**

9	Function Selection
10	Create Questionnaires and Templates
11	○ SIG - Create a SIG from a SIG Scoping Template
12	○ Custom SIG Scoping Template - Select options to create a Custom SIG Scoping Template
13	○ Response Template - From Content Library
14	◉ SME SIG - From a SIG Scoping Template
15	○ Response SIG - From SIG Scoping Template and Response Template
16	Compare SIG Data
17	○ Compare - Compare a received SIG to a Response SIG or stored Response Template
18	

A list of available scoping templates appears. **If (and only if) you have previously created a response template,** a list of response templates also appears (a blank response template is always available if you have created any response templates).

Step 2. Click the radio button next to the SIG scoping template and response template you want to use.

	SIG Scoping Template	Modified
○	Standard SIG 2024 Core	11/17/2023
○	Standard SIG 2024 Lite	11/17/2023
○	test-HR-IT-core	5/11/2024
○	test-HR-only	5/11/2024
○	HR-template	5/21/2024

	Response Template	Modified
○	Blank	N/A
○	HR-core-response-template	5/11/2024
○	combined core	5/11/2024

The scoping template is most likely to be one of the templates you created in Process 1, but it can be any scoping template that suits your purpose. Similarly, the response template should be one you created for the SME SIG whose scope you determined in Process 1.

A Create SME SIG button appears.

Step 3. Click the Create SME SIG button.

Create SME SIG
Create SIG

Tip: Save the SME SIG when prompted. As with the generic SIG questionnaire, the SME SIG uses macros (programming statements), (Mac Users) Be sure to save the file with its **.xlsm** filename extension.

After creating the SME SIG, it's time to distribute it internally to your organization's subject matter experts. SME SIGs are never distributed outside of the organization.

PROCESS 3 — TAKE THE RESPONSES FROM RETURNED QUESTIONNAIRES (OR SME SIGS) AND COMBINE THOSE ANSWERS IN THE SIG MANAGER

Step 1. Click Response Template — from Content Library. This begins the process of creating a blank response template in which to collect and save combined responses.

9	Function Selection
10	**Create Questionnaires and Templates**
11	○ SIG - Create a SIG from a SIG Scoping Template
12	○ Custom SIG Scoping Template - Select options to create a Custom SIG Scoping Template
13	◉ Response Template - From Content Library
14	○ SME SIG - From a SIG Scoping Template
15	○ Response SIG - From SIG Scoping Template and Response Template
16	**Compare SIG Data**
17	○ Compare - Compare a received SIG to a Response SIG or stored Response Template
18	

The SIG Manager displays a proposed template name and the Selection Status (how many questions are included) for the response template.

Tip: If the number given in Selection Status **IS NOT ZERO**, see "Resetting the Response Template Count" on page 5.

Save

Template Name
Combined Responses

Selection Status
0 - Responses in Selection

Step 2. Give a meaningful name to the response template, for example *Combined Responses* or *HR Responses* or *SME Responses*.

Step 3. Click the Save button above the Template Name field. This saves the response template to the SIG Manager. When you save at least one response template, several more options appear in the main menu at the left.

Step 4. Click the radio button next to Append in the area Recall/Modify Template, The SIG Manager displays a list of existing response templates.

19	**Manage SIG Data**
20	○ Migrate - Transfer responses between two SIG questionnaires
21	○ Upgrade - Move the contents of one SIG Manager to another
22	○ Import - SIG Scoping or Response JSON file
23	○ Export - SIG Scoping Template to JSON
24	○ Export - Response Template to JSON
25	**Recall/Modify Template**
26	○ SIG Scoping Template - Update or change selections
27	○ Response Template - Update or Change response
28	◉ Append - Use a SIG Questionnaire to modify a Response Template

Step 5. Click the radio button next to the response template you created in Step 2.

	Response Template	Modified
○	HR-core-response-template	5/11/2024
○	combined core	5/11/2024
◉	Combined Responses	5/22/2024

A File Open window opens. Select the returned SIG questionnaire file that contains the answers you want to capture, or the SME SIG file that contains answers from subject matter experts. (You can only select one file at a time.) This process differs slightly between Windows and Macintosh, but its purpose is the same — select the file that contains the answers.

Step 6. (Optional) You can confirm that your response template is growing after each append. Click the radio button Response Template — Update or Change Response and then choose the response template you're appending to. The Responses in Selection value should increase by the number of responses in each SIG being appended.

	Response Template	Modified
○	Blank	N/A
○	HR-core-response-template	5/11/2024
○	combined core	5/11/2024
◉	Combined Responses	5/22/2024

Save Changes | Delete | Cancel

Template Name
Combined Responses

Selection Status
16 - Responses in Selection

Step 7. Repeat Steps 4 and 5 until you have appended all the questionnaires or SME SIGs you wish to combine.

Resetting the Response Template Count

If the number in Selection Status is not zero, follow these steps:

Step 1. Click Response Template — Update or Change Responses, in the Recall or Modify Template section. A list of available response templates appears.

Step 2. Click the radio button next to Blank at the top of the response templates list.

Step 3. Click the radio button next to Response Template — From Content Library. The value for Responses in Selection should now be zero.

PROCESS 4 — CREATE A RESPONSE SIG FROM THE UPDATED CONTENT LIBRARY

Step 1. Click Response SIG — From SIG Scoping Template and Response Template.

	Function Selection
9	
10	Create Questionnaires and Templates
11	○ SIG - Create a SIG from a SIG Scoping Template
12	○ Custom SIG Scoping Template - Select options to create a Custom SIG Scoping Template
13	○ Response Template - From Content Library
14	○ SME SIG - From a SIG Scoping Template
15	◉ Response SIG - From SIG Scoping Template and Response Template

Two lists appear, one for scoping templates and one for response templates.

	SIG Scoping Template	Modified
○	Standard SIG 2024 Core	11/17/2023
○	Standard SIG 2024 Lite	11/17/2023
○	test-HR-IT-core	5/11/2024
○	test-HR-only	5/11/2024
◉	HR-template	5/21/2024

	Response Template	Modified
○	HR-core-response-template	5/11/2024
○	combined core	5/11/2024
◉	Combined Responses	5/22/2024

Step 2. From the SIG Scoping Template list, click the scoping template that represents a combination of each department's answers. From the Response Template list, click

the combined response template created in Process 3.

Step 3. Click Create SIG.

Step 4. Save the Response SIG file when it appears.

You can check in the Response SIG file for the answers that you have collected in Process 3.

4	Ques Num	Question/Request	Response
5	E.1	Are Human Resources policies and procedures approved by management, communicated to constituents and have an owner to maintain and review?	Yes
6	E.1.1	Are background checks performed pre-employment, and conducted periodically, or at least as frequently as required by industry-specific standards or regulations?	Yes
7	E.1.2	Do Human Resources policies of the organization include constituent background screening criteria (e.g., collection and verification of information) in contractual agreements with third parties?	Yes
8	E.1.3	Are constituents required to sign employment agreements?	Yes
9	E.1.3.1	Do employment agreements for constituents include acknowledgement of Acceptable Use policies?	Yes
10	E.1.3.2	Do employment agreements for constituents include acknowledgement of Code of Conduct/Ethics policies?	Yes

A WORD ABOUT BUSINESS INFORMATION AND THE DOCUMENTATION AND ARTIFACTS REQUEST LIST

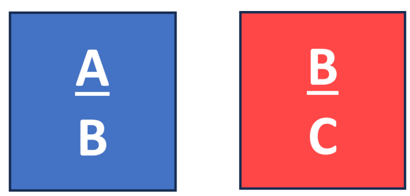
All SIG questionnaires include worksheets for Business Information and the Documentation and Artifacts Request List, but response templates and response SIGs include the *answers* to both. Before creating a response template or a response SIG that you expect to distribute to potential outsourcers, be sure to enter your correct Business Information and appropriate answers for Documentation and Artifacts Request List.

A NOTE ON SCOPING AND APPENDING

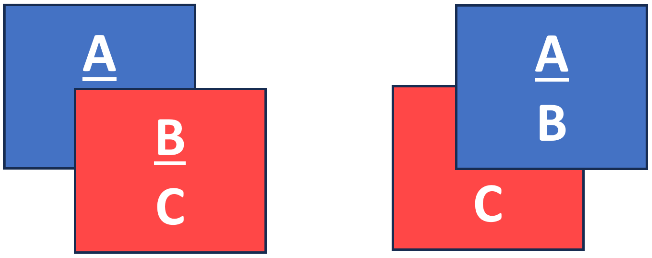
The same Domains, Reference Mapping, or Control Families should not appear on multiple custom scoping templates and their SIGs if you intend to append them together later. Duplicate domains (for example) on two different SIG questionnaires will contain the same questions.

If one person answers a questionnaire containing questions A and B, and another person answers a questionnaire containing B and C, only one person's answer to B will appear at the end of the process — it's a race, and the winner is the questionnaire that gets appended *last*.

For example, the blue tile includes domains A and B (and their questions), and the red tile includes domains B and C. These are SIGs from two different entities, but both include domain B.



When using the Append function in the SIG Manager, if responses exist in both SIGs, responses from the first file can be overwritten by responses from the second file (or the *nth*). The later appended file "wins."



On the left, the red file is appended last, so its version of domain B prevails. On the right, the blue file is appended last, so its version of domain B prevails.

The way to prevent this situation is to be very careful when creating multiple templates and questionnaires for different sets of respondents whose responses you will combine later on.

For example, if you are distributing SME SIGs to different departments in order to collate their expert answers, be sure that expert 1 has a distinct set of questions different from expert 2.